

10/031996

JC19 Rec'd PCT/PTO 22 JAN 2002

EXPRESS MAIL CERTIFICATE

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07278

PATENT TRADEMARK OFFICE

Docket No.: 2644/1F609-US4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Joseph BORKOWSKI

Serial No.: t/b/a

Confirmation No.:

Filed: Concurrently Herewith

For: SYSTEM AND METHOD FOR MANAGING SWAP ORDERS

INFORMATION DISCLOSURE STATEMENT

Hon. Commissioner of  
Patents and Trademarks  
Washington, DC 20231

Box PCT  
Attn.: DO/EO/US

Sir:

In order to comply with 37 CFR 1.97 and 1.98, attached hereto is a  
copy of Form PTO-1449 and copies of the documents listed thereon.

In accordance with MPEP Sections 609 and 707.05(b), it is requested that each document cited (including any cited in applicant's specification which is not repeated on the attached Form PTO-1449) be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing Form PTO-1449 next to the document. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

The undersigned is also enclosing herewith a copy of a Search Report issued April 23, 2001 for the PCT counterpart of the present patent application (Application No. PCT/US00/20394), in which the presently disclosed references were cited. Since a translation of the Search Report is also enclosed, or the Search Report utilizes conventional codes to characterize each cited reference, it is believed that the applicants in the above-identified patent application have now met the "concise explanation" requirement of 37 C.F.R. 1.98.

This submission is filed within three months of the filing of the application.

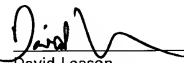
The present Information Disclosure Statement is being submitted in compliance with 37 CFR 1.56, but the citation of such document is not to be

construed as an admission that such document is necessarily relevant or prior art. No representation is intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104(a) and 1.106(b) and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

Early and favorable consideration is earnestly solicited.

Respectfully submitted,

Dated: January 21, 2002

  
\_\_\_\_\_  
David Leason  
Registration No. 36,195  
Attorney for Applicant(s)

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10/031996

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE PATENT &amp; TRADEMARK OFFICE

SHEET 1 OF 1  
(REV. 7-80)**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

DOCKET NO.: 2644/1F609-US4 SERIAL NO: t/b/a  
 APPLICANT: Joseph BORKOWSKI FILING DATE: Concurrently Herewith

**U.S. PATENT DOCUMENTS**

<u>*EXAMINER</u> <u>INITIALS</u>	<u>DOCUMENT</u> <u>NUMBER</u>	<u>DATE</u>	<u>NAME</u>	<u>CLASS</u>	<u>SUBCLASS</u>	<u>FILING DATE</u>
	1. 5,704,045	12/30/97	King et al.	395	235	6/9/95
	2. 5,987,435	11/16/99	Weiss et al.	705	36	10/30/97
	3. 6,058,379	5/2/2000	Odom et al.	705	4	01/21/96
	4. 6,049,772	4/11/2000	Payne et al.	705	37	07/11/97

**FOREIGN PATENT DOCUMENTS**

<u>*EXAMINER</u> <u>INITIALS</u>	<u>DOCUMENT</u> <u>NUMBER</u>	<u>DATE</u>	<u>COUNTRY</u>	<u>CLASS</u>	<u>SUBCLASS</u>	<u>TRANSLATION</u> <u>YES</u> <u>NO</u>
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**OTHER REFERENCES****(INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)**

\*EXAMINER  
INITIALS

EXAMINER: \_\_\_\_\_

DATE CONSIDERED: \_\_\_\_\_

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.